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THE UNDER SECRETARY OF STATE  
WASHINGTON

NSC UNDER SECRETARIES COMMITTEE

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March 4, 1971

NSC-U/SM 96  
S/S 7103206

TO : The Deputy Secretary of Defense  
The Assistant to the President for National  
Security Affairs  
The Director of Central Intelligence  
The Chairman, Joint Chiefs of Staff

SUBJECT: Coordination of Foreign Affairs Research Sponsored  
by the Federal Government

Pursuant to the President's directive in National Security Decision Memorandum 98, I wish to establish an interagency subcommittee on foreign affairs research. The subcommittee will use the designation: USC/FAR.

I have asked the Director of the Department of State's Bureau of Intelligence and Research, Ray S. Cline, to organize and chair the USC/FAR.

The USC/FAR will assist the USC in its responsibility for assuring interagency coordination of the external foreign affairs research sponsored by the departments and agencies in receipt of NSDM-98 and this Memorandum.

The scope and the responsibilities of the USC/FAR are described in the terms of reference (copy attached) referred to in NSDM-98. Accordingly, the initial members of the USC/FAR, in addition to the Chairman, will be representatives of:

1. The Department of Defense
2. The United States Information Agency
3. The Agency for International Development
4. The Arms Control and Disarmament Agency
5. The Assistant to the President for National Security Affairs

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Among other ways, the appropriate external research activities of the member agencies are to be coordinated by inclusion in the annual foreign affairs consolidated research plan (see paragraph 5A of the terms of reference). Each member department or agency should notify Mr. Cline of the name of its representative by March 15, 1971, being guided in naming him by paragraph 4G of the terms of reference.

The initial observers of the USC/FAR will be representatives of the heads of:

1. The Department of Health, Education and Welfare
2. The Office of Management and Budget
3. The Central Intelligence Agency
4. The Office of Science and Technology
5. The National Science Foundation

Each observer department or agency should notify Mr. Cline of the name of its representative by March 15, 1971, being guided in naming him by applicable sections of paragraph 4G of the terms of reference.

All other departments and agencies in receipt of NSDM-98 and this Memorandum will initially be considered non-members of the USC/FAR with the responsibilities outlined in Annex D of the terms of reference. For the information of all concerned, departments and agencies in this category are as follows:

1. The Department of the Treasury
2. The Department of Agriculture
3. The Department of Commerce
4. The Department of Labor
5. The Office of Emergency Preparedness
6. The Atomic Energy Commission
7. The National Aeronautics and Space Administration

Each of these departments and agencies should notify Mr. Cline of its designated "contact point" by March 15, 1971, being guided in the designation of a contact point by pertinent sections of paragraph 4G of the terms of reference. Any of these departments or agencies which believes that its representative should serve as an observer of the USC/FAR should so indicate to Mr. Cline.

It should be noted that the terms of reference are such as to permit the expansion of membership of the USC/FAR as appropriate (paragraph 4C), and to enlist the cooperation with the USC/FAR of all

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departments and agencies which support research activities falling within the scope of the USC/FAR (Annex D).

  
John M. Irwin II  
Chairman

Attachment:

Terms of Reference

cc: The Under Secretary of the Treasury  
The Under Secretary of Agriculture  
The Under Secretary of Commerce  
The Under Secretary of Labor  
The Under Secretary of Health, Education and Welfare  
The Assistant Director, Office of Management and Budget  
The Director, United States Information Agency  
The Director, Arms Control and Disarmament Agency  
The Director, Office of Emergency Preparedness  
The Director, National Science Foundation  
The Administrator, Agency for International Development  
The Director, Office of Science and Technology  
The Chairman, Atomic Energy Commission  
The Director, National Aeronautics and Space Administration

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Terms of Reference

Interdepartmental Group for Foreign Affairs Research\*

1. AUTHORIZATION AND IDENTIFICATION

This Interdepartmental Group is established as part of the NSC system. Its symbol will be FAR/IG. It supersedes but builds upon the work done by the Foreign Area Research Coordination Group (FAR), established by voluntary agreement of the foreign affairs research community on April 9, 1964.

2. PURPOSE

The Group's purpose is systematically to coordinate member agency external social science research activities which bear upon foreign affairs in order to develop and monitor a coherent interdepartmental program of external research.

3. SCOPE

The Group is concerned with the full range of needs of the national security foreign affairs process which may be met in whole or in part from research involving the application or advancement of the social-behavioral sciences or humanistic studies. (See Annex A.\*\*)

4. ORGANIZATION

A. Members. The members of the Group are representatives of the heads of:

1. The Department of State (Chairman)
2. The Department of Defense
3. The United States Information Agency
4. The Agency for International Development
5. The Arms Control and Disarmament Agency
6. The National Security Council Staff

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\* As modified by NSC-U/SM 96.

\*\* While Annexes A-D are an integral part of these Terms of Reference, the Annexes are to be construed as initial guidance for the FAR/IG which may be amended, developed and refined by the Group itself in the light of experience.

- B. Observers. The heads of the following departments and agencies will be represented by observers at the meetings of the Group and such of its committees as may be determined by the Chairman:
1. The Department of Health, Education and Welfare
  2. The Office of Management and Budget
  3. The Central Intelligence Agency
  4. The Office of Science and Technology
  5. The National Science Foundation
- C. Others. Representatives of the heads of other US departments and agencies may be invited by the appropriate chairman to participate as ad hoc members or observers in meetings of the Group or its committees when the agenda involves matters for which they have major responsibilities. The extent of participation of observers and ad hoc members will be decided on a case-by-case basis. On the advice of the Chairman of the Group, the Secretary of State may invite non-member agencies to join the Group as full participating members.
- D. Chairman. The Secretary of State will appoint the Chairman of the Group.
- E. Committees. The Group Chairman may establish such standing and ad hoc committees as are required to assist the Group. Interested members may request representation. It is expected that the committees will cover the major geographic regions and provide for important areas of functional, basic and multinational research. Observer or non-member agencies may be asked by the Group to sit as full participating members on specified committees as appropriate.
- F. Secretariat. The Department of State will provide an Executive Secretary and a staff to furnish secretariat services to the Group and its committees.
- G. Agency Representatives. The head of each member or observer agency will designate to the Secretary of State his Representative to the Group. The Representative will be responsible for his agency's participation in the Group and its committees, including internal coordination and the submission of research information, plans and reports where required. Each member agency will assure that its Representative is so positioned in the agency as to be conversant with agency policies, planning and programs related to foreign affairs as well as conversant with agency research programs and plans and with the agency's participation in the NSC process. Whether the Representative

normally carries either research or operating responsibilities in his agency, he should assure that both interests make appropriate inputs to the work of the Group. Each member agency will establish internal procedures for effective agency participation in the Group.

- H. Reporting. The Chairman of the Group will report to higher authority in the NSC system. Members of the Group may exercise the usual right to appeal in the event of disagreement with the Chairman's decisions. In forwarding Group plans and reports to higher authority, dissenting views of member agencies will be presented.

## 5. FUNCTIONS

To carry out its purpose the Group is authorized to perform the following functions:

- A. Develop a Foreign Affairs Consolidated Research Plan which the Group will recommend to higher NSC authority on August 1 each year. The Plan -- which is to focus on the program rather than the project level -- is to be developed along the lines described in Annex B. Typically, the Plan will:
  1. State Group-wide and individual member agency research goals and priorities for both the near and long term;
  2. Consistent with the priorities, coordinate and allocate program responsibility among agencies;
  3. Present a multi-year budget for regional and functional program areas in which individual and multi-agency responsibilities are indicated;
  4. Suggest joint funding of particular activities.
- B. Recommend Joint Funding of Projects and Programs. The Group Chairman is authorized to explore possibilities and to encourage, where appropriate, the joint funding of specific activities by two or more agencies.
- C. Collect and Disseminate Information on Research and Improve Utilization of Research Results. In order to make the Group progressively more effective and to assure efficiency in the sponsoring of external research and its effective utilization,

the Executive Secretary of the Group will be responsible for the collection and dissemination of relevant information and documents.

1. The Executive Secretary will assure that a complete and current inventory of Government-supported external research projects is maintained and made available to all members, that copies of all research reports resulting from agency projects are accessioned by the Foreign Affairs Research Documentation Center and member agencies alerted to their availability, and that all other necessary exchanges of information authorized by the Group Chairman take place. (See Annex C for responsibilities of agencies to supply information.)
  2. To the maximum extent consistent with the national security, research information developed by the Group will be shared, under policies approved by the Group, in the Government and with the private research community. Other appropriate steps will be taken to establish mutual trust and good working relations among the governmental, non-governmental, inter-governmental, and foreign research sectors.
- D. Arrange Committee Consultations and Initiatives. Each committee of the Group will stand ready to constitute itself an informal advisory group for any agency (member or non-member) that wishes to consult member agencies in developing and designing specific programs or projects, the subject matter of the program or project serving as a guide to selecting the most appropriate committee for consultation. Member agencies are to be encouraged to seek such consultation for all major programs and projects which have a substantial interagency interest, even if the Consolidated Research Plan does not specifically direct. However, it is recognized that some projects which are studies of specific situations or events must be fielded and reported within such a short time frame that committee consultation may not be feasible. Each committee is responsible for recommending to the Group Chairman improved ways to accomplish the work of the Group and problems or opportunities to which the Group should address itself.
- E. Establish Liaison. To assure appropriate relevance of external research to policy planning and programming, the chairmen of the Group and its committees will arrange for

participation in their meetings by appropriate staff members of other NSC Interdepartmental Groups and of the Department of State's Planning and Coordination Staff (S/PC). To assure that the activities of the Group proceed with adequate awareness of the context in which they exist, the Group will establish appropriate liaison with other units or groups in the Government concerned with the domestic and overall advancement and application of the social-behavioral and humanistic disciplines, liaison with the private US research community, and liaison with those agencies of Government and other organizations concerned with the development and international support of relevant foreign and multinational research capabilities.

- F. Make Recommendations on Related Matters. Although the Group is to direct its efforts to the purpose specified and with the authority given it by this document, it needs to be recognized that its work will impinge upon and be affected by a number of related matters. These matters include: (1) the general state of and the national interest in advancing and applying the social-behavioral and humanistic disciplines; (2) the state of university and Government programs which bear upon advanced education and training in foreign area and international studies; (3) the state of international educational, cultural and information exchange programs; (4) the state of relevant foreign research capabilities; (5) the state of Government in-house research and study units, programs and capabilities. For this reason, the Group is authorized to direct its attention and resources to the consideration of these and other contextual matters when it appears that such attention may result in transmission to the proper authority in Government of well-coordinated recommendations for ways in which the US Government can better deal with problems and opportunities in these areas.

Annex A. Scope and Guidelines.

Annex B. Sample Schedule for Preparation of the Consolidated Research Plan.

Annex C. Information Responsibilities of Members.

Annex D. Responsibilities of Non-Member Agencies.



Annex A

SCOPE AND GUIDELINES

1. Scope: The Group takes the broadest possible view of national security foreign affairs, and concerns itself not only with the political military dimensions of national security and foreign affairs but with all geographic areas and the full range of functional dimensions of international affairs in which the distinctions between foreign and domestic affairs are increasingly blurred. Within that broad view:

A. The Group is directly concerned with:

1. All external (contract and grant) social-behavioral science and humanistic research and studies\* supported by member agencies the purpose of which is:
  - a. To detect or clarify situations and trends;
  - b. To anticipate problems and opportunities;
  - c. To review, evaluate and plan national policies and programs -- political, military, economic, social, technological, cultural, etc.;
  - d. To illuminate and improve the management, organization and conduct of national policy;
  - e. To improve and advance theory, methods and data in disciplines and fields which have a bearing on the above purposes.
2. Such external research activities of member agencies as:
  - a. Short-term or ad hoc research programs and projects;

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\* Research and studies in the social-behavioral and humanistic fields are directed toward an understanding of human institutions and groups and of individuals as members of groups. They include research and studies of the implications for man and society of developments in the life, physical and environmental sciences and in mathematics and engineering. The social-behavioral and humanistic disciplines and fields include: anthropology, demography, economics, geography, history, intercultural communications, international relations, law, linguistics, philosophy, political science, psychology, social statistics, sociology, and various multidisciplinary combinations thereof.

- b. Continuing research programs conducted by Federal Contract Research Centers or other contractors or grantees;
  - c. Research abroad funded through excess foreign currencies;
  - d. Institutional support and other general purpose grants to or arrangements with academic or other private institutions for the advancement or application of knowledge relevant to foreign affairs;
  - e. Research conferences, symposia, etc.;
  - f. Data and information collections, services and systems related to research.
- B. The Group is indirectly concerned (for information purposes only) with research activities in the above categories of non-member agencies.

2. Guidelines: In pursuing its purpose within this scope the Group will give due consideration to:

- A. Both the efficient use of Government resources and the need to run the risks of low pay-off which attend some areas of inquiry and which attend innovative research and development in particular;
- B. The importance of high quality in Government-sponsored research;
- C. The advantage of multiple perspectives in the study of situations and problems;
- D. The desirability of making foreign affairs data and knowledge cumulative and readily accessible;
- E. The need to facilitate utilization of existing knowledge as well as of the findings of sponsored research;
- F. The importance of developing and experimenting with the application to foreign affairs research and analysis of new approaches, methods and techniques;
- G. The national interest in having the Government contribute in suitable ways to the development of those individual and

institutional capabilities in the external research community which in turn help meet the national need for foreign affairs knowledge and analysis;

- H. The importance of conducting the Government's relations with the private research community on a basis which respects and protects the integrity of both;
- I. The desirability of assisting in the development of foreign research capabilities and of internationalizing support for certain kinds of social-behavioral and humanistic research.

Annex B.

SAMPLE SCHEDULE FOR PREPARATION OF THE CONSOLIDATED RESEARCH PLAN

Preparation of the Plan is to be completed on a regular annual schedule so that it can guide member agencies and review authorities in the development of the President's budget. This will require at least the following activities at roughly the times indicated. However, the Group Chairman has full authority to adjust both activities and timing to make the process more effective in light of experience.

1. 31 March 1971: Member agencies deliver to Group Chairman:
  - A. A resume of relevant current external research activities and plans for all of FY-1971;
  - B. A statement of research activities projected for FY-1972;
  - C. A projection of research activities planned in connection with the fiscal year or years beyond 1972;
  - D. A statement of research priorities which the agency believes should shape the Plan for FY-1973, etc.;
  - E. After the first year, when an earlier version of the Plan exists and is to be revised and updated, an explanation of how the agency activities described in the submissions required by paragraphs A through D above relate to the existing version of the Plan.
2. 10 April 1971: Executive Secretary disseminates to appropriate Group committees various portions of submissions from agencies.
3. 15 April 1971: Various Group committees begin work to develop research plans for their areas of competence. These plans are to be multi-agency and multi-year in accordance with guidance given by the Group Chairman.
4. 20 May 1971: Committees transmit completed research plans to Group Chairman.
5. 15 June 1971: Executive Secretary, using research plans from committees, transmits to the Group Chairman a draft Plan which he has prepared. The draft is to merge committee research plans and to point up major issues to be resolved and choices to be made by the Group.

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6. 1 August 1971: Group Chairman transmits final version of Plan to higher NSC authority.
7. 1 September 1971: Higher NSC authority approves a Consolidated Research Plan.
8. 5 September 1971: Approved Plan distributed to Group committees, member agencies, OMB and other observers.
9. 10 September 1971 - August 1972: Group committees undertake program reviews, project consultations, and such other activities as are directed by the Plan or the Group Chairman, sought by member agencies or initiated by the committee chairman.
10. 1 October 1971: Member agencies make budget submissions for FY-1973 to OMB in preparation for President's budget in January 1972.
11. 1 February 1972: Executive Secretary alerts member agencies to need for 31 March submission.
12. 31 March 1972: Member agencies deliver new submissions to Group Chairman as specified in paragraph 1 above and cycle begins again.

Annex C. -

INFORMATION RESPONSIBILITIES OF MEMBERS

1. Each member agency Representative shall transmit to the Executive Secretary the following information on specific research projects immediately after a grant is awarded or a contract is entered into:
  - A. Title of project and brief description.
  - B. Sponsoring agency or agencies (including information of any funding by other agencies); monitoring officer or officers.
  - C. Contractor, subcontractors if known, and principal researchers; estimated cost; initiation date and estimated completion date.
  - D. Summary information pertaining to questions to be investigated, methods, schedules, countries or regions covered.
  - E. Individuals in other member agencies involved in the formulation or management of the project.
  - F. Classification of project and proposed disposition of reports.
  - G. Relationship of project to the current Consolidated Research Plan.
2. Each member agency Representative shall transmit to the Executive Secretary three copies of each research report resulting from projects and activities supported by the member agency.
3. Each member agency Representative shall cooperate with the Group Chairman and the Executive Secretary in supplying such additional information as the Group requires for its activities. Categories in which information is likely to be required include but are not exhausted by the following:
  - A. Information on a member agency's in-house research and study programs and projects; ✓
  - B. Information on external research capabilities and limitations;
  - C. Information of the state of theory, method and data in certain fields or academic disciplines;

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- D. Information on research management practices;
- E. Information on particular or special or emerging problems in the conduct of external research;
- F. Information on obtaining copies of external research reports and publications produced without Government support;
- G. Information on procedures and problems in agency utilization of research results;
- H. Information on foreign and multi-national research capabilities and on international programs for the support and development of these capabilities.

Annex D.

RESPONSIBILITIES OF NON-MEMBER AGENCIES

All Federal agencies are responsible for bringing to the attention of the Group, whether or not they are members, their research projects and programs which fall within its scope (see Annex A). All non-member agencies, including observer agencies, which support relevant projects, programs, or other activities will designate a contact point to be responsible for providing information on such activities to the Group Chairman. Information on specific projects will be provided in accordance with Paragraph 1 of Annex C. All non-member agencies, including observer agencies, will, at his request, cooperate with the Chairman of the Group in identifying problems and opportunities and developing recommendations pertaining to matters of the type described in paragraph 5.F.